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APPLICATION NUMBER	FILING OR 371 (c) DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/763,826	01/23/2004	Nicholas R. Brown	18638-04-0172-01

CONFIRMATION NO. 5024

Daniel H. Golub
1701 Market Street
Philadelphia, PA 19103

FORMALITIES LETTER



OC000000013259846

Date Mailed: 07/16/2004

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

08/02/2004 HDEMESS1 00000003 500310 10763826

FILED UNDER 37 CFR 1.53(b)

01 FC:1001 770.00 DA
02 FC:1051 130.00 DA

*Filing Date Granted*Items Required To Avoid Abandonment:

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 770 to complete the basic filing fee for a non-small entity. If appropriate, applicant may make a written assertion of entitlement to small entity status and pay the small entity filing fee (37 CFR 1.27).
- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.

SUMMARY OF FEES DUE:

Total additional fee(s) required for this application is \$900 for a Large Entity

- \$770 Statutory basic filing fee.
- \$130 Late oath or declaration Surcharge.

Replies should be mailed to: Mail Stop Missing Parts
Commissioner for Patents
P.O. Box 1450
Alexandria VA 22313-1450



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Brown

Serial No.: 10/763,826

Filed: January 23, 2004

For: Combination Of Financial Instruments
And Method For Implementing Investment
Strategy

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: Attorney Docket No.
: 018638-04-0172-01
:
:
:

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**RESPONSE TO NOTICE TO FILE
MISSING PARTS OF APPLICATION**

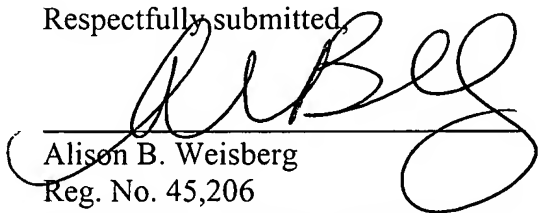
Sir:

In response to the Notice to File Missing Parts of Provisional Application Filing Date Granted mailed July 16, 2004 enclosed are the following:

1. A copy of the Notice to File Missing Parts (1 page);
2. Executed Combined Declaration and Power of Attorney (7 pages); and
3. Self-addressed stamped return postcard.

The Commissioner is hereby authorized to charge the fees due in connection with this submission, including the late filing oath surcharge for a large entity, to Deposit Account No. 50-0310. A duplicate copy of this page is enclosed.

Respectfully submitted,


Alison B. Weisberg
Reg. No. 45,206
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Certificate of Mailing (37 C.F.R. §1.8)

I hereby certify that this paper, and the papers and/or fees referred to herein as transmitted, submitted or enclosed, are being deposited on the date shown below with the U.S. Postal Service with sufficient postage as first-class mail in an envelope addressed to Mail Stop Missing Parts, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Name: Alison B. Weisberg Signature:  Date of Deposit July 28, 2004